



1997

Site Visit Evaluation Book



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Introduction

This evaluation booklet is designed to provide site visit teams with a concise, organized method to record applicant evaluations during site visits. For detailed instructions on site visits, consult the 1997 Handbook for the Board of Examiners.

This booklet contains the following forms and worksheets:

- Key Business Factors Worksheet
- Summary of Sites Visited
- Site Visit Issues Worksheet
- Final Evaluation – Item Summary
- Final Evaluation – Category Summary
- Final Evaluation Summary
- Final Evaluation – Overview

The team may download copies of forms and worksheets from our Web site at <http://www.quality.nist.gov/97sveval.htm> or create similar forms on a word processor.

Key Business Factors Worksheet

This worksheet records the key business factors that were considered in the evaluation of the applicant. The factors should be those listed in the consensus report as modified to reflect new information obtained during the site visit. Knowledge and use of the key business factors are essential to the proper conduct of a site visit evaluation. Key business factors help define what is important and relevant to the applicant.

Summary of Sites Visited

This form conveys the extent and thoroughness of the site visit. The team will list the major applicant locations that were visited, and describe any important aspects of the sites that are not apparent from the Site Listing and Descriptors form in the company's application. Examples of such characteristics could include: the oldest factory, the site with a major reduction in force, the location where the newest product will be manufactured, or the telephone answering center that runs three shifts. In addition, Examiners should describe any approaches they used to evaluate sites which they did not visit, including sites outside the U.S.

This worksheet also notes any other information on the team's strategy for a thorough site visit. Examples could include: interviewed employees on all three shifts, visited at least one location in all of the operating regions, did a sampling at all levels and in all locations of the company's critical data systems, etc.

Site Visit Issues Worksheet

This worksheet is initially used to define issues for verification and clarification and outline the strategy to be used to obtain the needed information. These issues are identified by the team in their pre-visit planning. Team members target those issues which will most contribute to their understanding of the performance of the applicant in the areas of the Criteria.

After the site visit issues have been identified, but before the site visit starts, the issues should be prioritized according to level of importance (e.g., high, medium, low). Record the priority at the top of the page. Record the consensus evaluation of the issue (i.e., whether it was a strength (+/++), area for improvement (-/- -), or not evaluated during consensus).

Only one major issue should be recorded per worksheet, to permit adequate space to record findings. During the site visit, new issues which occur are recorded on separate worksheets.

Prior to the visit, the team may make copies of the partially completed worksheets so that team members can take notes during on-site meetings with the applicant. However, at least as frequently as each evening, Examiners should review their notes and record their findings on the original copy of the worksheet. The original will be submitted as part of the site visit report.

In regular team caucuses, team members should discuss their preliminary findings and conclusions. Until the visit is complete, preliminary conclusions are subject to change as new information becomes available. These discussions and preliminary conclusions will help guide the team during the visit.

As each issue is investigated and findings are completed, the team should decide which line to check at the bottom of the form to indicate the effect the findings/conclusions have on the score.

Final Evaluation – Item Summary

This worksheet is the team's record of their final evaluation of the applicant for each of the Criteria Items.

As issues are addressed and findings are recorded for each Item, the team should assess and integrate these findings in order to develop a revised set of strengths and areas for improvement for the Item.

Strengths and areas for improvement will come from three main sources: 1) the consensus report from the written application review; 2) resolution of the site visit issues; and 3) new, unanticipated information from the site visit. None of the three

sources should be ignored. In particular, areas for improvement often become more clearly defined as missing information becomes available during the visit. Effective recording of strengths and areas for improvement is important both for the Judges' deliberations and for the feedback report.

As each Item Summary is completed, the team should record the consensus score for the Item and decide which line to check at the bottom of the form to indicate the impact the site visit findings have on the score.

Final Evaluation – Category Summary

The Final Evaluation – Category Summary worksheet is used by the team to summarize its final evaluation for each of the Categories. The summary need not repeat the individual findings given in the Item Summaries, but should put the Item findings in perspective. The team should use the key business factors of the applicant to identify the most important and relevant observations.

The Category Summary should highlight any quality aspects of the applicant that could be considered a “role model” for other companies. It should be based upon both the information gained from the site visit and from the team’s evaluation of the application.

As each Category Summary is completed, record the weighted consensus score for the Category. Decide as a team which line to check at the bottom of the form to indicate the impact the findings have on the score.

Final Evaluation Summary

This worksheet provides key points and an overall summary of the team’s evaluation of the applicant. It is an update of the Consensus Evaluation Summary Worksheet. Please limit your summary to two pages.

This information should be based on the overall context provided by the evaluation framework (the seven Categories) and the Core Values and Concepts (found in the 1997 Criteria booklet) that pervade the evaluation framework. The Final Evaluation Summary need not repeat the most significant findings given in the Item and Category Summaries, but should put them in perspective, taking into account Item linkages, key business factors, and core values.

The Final Evaluation Summary should respond to the questions below:

- a. What are the most important strengths or outstanding practices of potential value to other companies that the team identified?
- b. What are the most significant concerns, risks, or vulnerabilities that the team identified?

- c. Considering the applicant’s key business factors, what are the most significant strengths, vulnerabilities, and/or gaps (data, comparisons, linkages) found in the Business Results Category?

Note: At the end of the site visit stage, during the conference calls with the Judges, team leaders will be asked to explain the site visit findings that led to the changes reflected in the Final Evaluation Summary.

Final Evaluation – Overview

After completion of the Final Evaluation Summary, the Category scores and the revisions should be transferred from the Category Summary Worksheets to the Final Evaluation – Overview. All team members must sign and initial the form.

Requirements for a Good Report

When completed, the site visit report will contain a well-documented trail of evidence that demonstrates how the Final Evaluation Summary conclusions are related to information obtained from the written application or the site visit. The trail of evidence will:

1. start with the consensus report and site visit issues;
2. show the strategy of the site visit, as illustrated by the sites visited, the issues chosen, and the new findings;
3. describe, in the Final Evaluation – Item Summaries, how the site visit findings modify the conclusions originally drawn in the consensus report; and
4. show how the team’s conclusions in the Final Evaluation Summary can be traced to the Category Summaries which are, in turn, traceable to the Item Summaries.
5. show how the team’s conclusions reflect the applicant’s key business factors.

Report Submission

At the conclusion of the site visit, make three copies of the completed site visit report. Send one copy via overnight mail to:

Malcolm Baldrige National Quality Award
ASQC
611 East Wisconsin Avenue
Milwaukee, WI 53202
(800) 248-1946

The team leader and feedback writer each retain a copy. The NIST monitor hand-carries the original report to NIST.

1997 Key Business Factors Worksheet

Application
Number _____

List the applicant's key business factors. The factors should be those listed in the consensus report as modified to reflect new information obtained during the site visit.

1997 Summary of Sites Visited

Application
Number _____

This worksheet conveys the extent and thoroughness of the site visit.

Length of the Site Visit (number of days with applicant):

Sites Visited: (List the major applicant sites visited, and describe any important aspects of these sites which are not apparent from the Site Listing and Descriptors Form in the application.)

Approach Used to Evaluate Sites Not Visited, Including Sites Outside the U.S. (if appropriate):

Other Information on the Team's Strategy for a Thorough Site Visit:

1997 Site Visit Issues Worksheet

Priority _____ Examiner _____ Application _____
(High, Medium, Low) Initials _____ Number _____

Item Ref: _____ Issue: (Record only one issue per page.)

Consensus Evaluation: Strength ____ + ____ ++ Area for Improvement ____ - ____ -- Not originally evaluated ____

Strategy: [What information do you need, and how do you intend to obtain it? (e.g., persons to interview, questions to ask, specific documents to review and for what purpose, and observations to make)]

Findings: (Specific answers, current results, etc.)

Conclusions: (What is the resolution of this site visit issue based on your findings?)

Effect of Findings/Conclusions on Score: ____ raise ____ no effect ____ lower
(If more than one finding, put "*" next to the most important one for the score change.)

1997 Final Evaluation – Item Summary

Application
Number _____

Item Number _____

+ / + + Area to
Address (+ / + +) STRENGTHS

- / - - Area to
Address (- / - -) AREAS FOR IMPROVEMENT

Consensus Score:

_____ %

Change Due to Site Visit Findings:

___ raise large ___ raise small ___ no change ___ lower small ___ lower large

1997 Final Evaluation – Category Summary

Application
Number _____

Category Number _____

Summarize the team's final evaluation of this Category. Do not repeat the individual findings given in the Item Summaries. Use the applicant's key business factors to identify the most important and relevant observations. Highlight any quality aspects of the applicant that could be considered a "role model" for other companies.

Consensus Score:

%

Change Due to Site Visit Findings:

____ raise large ____ raise small ____ no change ____ lower small ____ lower large

1997 Final Evaluation Summary

Application
Number _____

Summarize the team's final evaluation of the applicant overall. This worksheet updates the Consensus Evaluation Summary Worksheet and responds to the questions on page 2 of this booklet. The Final Evaluation Summary should take into account the seven Categories, Item linkages, key business factors, and the Core Values and Concepts found in the 1997 Criteria booklet.

1997 Final Evaluation – Overview

Application
Number _____

Summary of Scoring Revisions:

Instructions: Transfer the Category scores and changes due to the site visit findings from the Category Summary worksheets, and then record the score revision for the application as a whole.

Category	Consensus Percent Score	Changes Due to Site Visit Findings				
1	_____	___ raise large	___ raise small	___ no change	___ lower small	___ lower large
2	_____	___ raise large	___ raise small	___ no change	___ lower small	___ lower large
3	_____	___ raise large	___ raise small	___ no change	___ lower small	___ lower large
4	_____	___ raise large	___ raise small	___ no change	___ lower small	___ lower large
5	_____	___ raise large	___ raise small	___ no change	___ lower small	___ lower large
6	_____	___ raise large	___ raise small	___ no change	___ lower small	___ lower large
7	_____	___ raise large	___ raise small	___ no change	___ lower small	___ lower large
Total	_____	___ raise large	___ raise small	___ no change	___ lower small	___ lower large

Signature Statement

I have no conflict of interest with the applicant, and I support this report of the Site Visit Team.

Name (Please print)	Signature	Initials Used
_____ Team Leader	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

The Malcolm Baldrige National Quality Award

United States Department of Commerce
Technology Administration
National Institute of Standards and Technology
Route 270 and Quince Orchard Road
Administration Building, Room A537
Gaithersburg, MD 20899-0001

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